



# Moving open access implementation forward

A handbook for open access good practice based on experiences of UK higher education institutions

December 2016

**Authors**

Helen Blanchett  
Hannah DeGross





With thanks to: Sarah Fahmy and Angela Hilton, Jisc open access good practice (OAGP) project managers, Rachel Westerbeek for reviewing this handbook, and to all the pathfinder project teams and members of the OAGP community for their hard work and contributions over the last two years.



© Jisc  
Published under the CC BY 4.0 licence  
[creativecommons.org/licenses/by/4.0](https://creativecommons.org/licenses/by/4.0)

# Contents

---

<b>Introduction</b>	<b>4</b>	<b>Advocacy</b>	<b>15</b>
Further links	4	Get to know your researchers and how they work	15
<b>The projects</b>	<b>5</b>	Keep the message clear and simple	18
<b>Baselining and policy compliance</b>	<b>6</b>	Promote the wider benefits	19
Capture your current situation	6	Help researchers navigate the policy landscape	20
Benchmark against other institutions	7	Use a range of approaches	20
Treat implementation as a project	7	Review your support regularly	21
Take advantage of opportunities for change	7	Encourage institution-wide involvement	21
Integrate compliance with other reporting and systems	7	Get the buy-in of key stakeholders or champions	21
Involve stakeholders from across your institution	8	Ensure support staff have the right skills	22
Incorporate open access into institutional strategies	8	<b>Cost management</b>	<b>23</b>
Find positive solutions	8	Understand the OA cost management landscape	23
Set up regular reviews	8	Capture workflow costs	23
<b>Structures and workflows</b>	<b>9</b>	Adapt your cost management workflow to make time-saving efficiencies	24
Find the right approach for your institution	9	Track down “APCs paid in the wild”	25
Review your whole workflow or fine tune individual tasks	10	Provide feedback	25
Coordinate processes across your institution	12	Make a case for an institutional open access fund	25
Think about mapping to existing processes	12	<b>Metadata and systems interoperability</b>	<b>26</b>
Consider how you handle REF exceptions	12	Standardise your data entry	26
Explore workflow models	13	Implement systems that will help you automate OA workflows	26
Ensure sustainability	14	Be part of the discussion	26
		<b>Further support</b>	<b>27</b>

---

# Introduction

This handbook summarises the lessons learned by the open access good practice (OAGP) initiative and points towards key tools and resources that have been produced. It is aimed at staff involved in supporting open access implementation at their institutions in the UK.

The move towards open access publishing has accelerated its pace because OA is increasingly required by funders' and institutional policies. While higher education institutions have generally responded quickly, more support was needed to support the transition, which is complex and challenging for institutions in terms of changing systems, processes and culture.

Nine **open access good practice pathfinder projects** (<http://ji.sc/oa-good-practice>) ran from May 2014 to July 2016 and investigated several aspects of open access implementation. The pathfinders, involving over 30 institutions, have shared their experiences and resources with the community over the last two years.

Five themes emerged which form the structure for this handbook: baselining and policy compliance; structures and workflows; advocacy; cost management; metadata and systems interoperability.

Institutions varied so much in their circumstances and approaches that no 'magic bullet' was identified, but these projects helped to create resources and build a community to enable the sector to move forward and face the ongoing challenges of implementation.

This handbook covers how institutions are addressing the key driver of policy compliance, and also the activities around wider engagement with open access. These approaches will enable the wider benefits of openness to be realised for individual researchers, institutions and wider society.

*"Sharing best practice is of key importance - and not just within immediate peer groups. Different types of universities can learn from each other (eg large institutions can learn from small ones, the Russell Group can learn from post-94 institutions etc., especially when it comes to the practicalities)."*

**Lessons in open access compliance for higher education (LOCH) pathfinder final report** (<http://ji.sc/lessons-in-oa>)

## Further links

A selection of the resources produced by the projects is highlighted in this handbook - a comprehensive list of outputs by theme is available on the **open access good practice project page**. (<http://ji.sc/oa-good-practice>)

A detailed review of the initiative and the individual projects, including a list of outputs by project, can be found in the **final report**. ([http://bit.ly/Open\\_Access\\_Good\\_Practice](http://bit.ly/Open_Access_Good_Practice))

Project blogs are linked to on the project listing opposite and individual project reports.

# The projects

The projects will be referred to by their project abbreviation throughout this handbook.

Project	Project blog	Final report	Title	Lead	Associates
E2EOA - End-to-End Open Access Process Review and Improvements	<a href="http://e2eoa.org/">http://e2eoa.org/</a>	<a href="http://eprints.gla.ac.uk/132062">http://eprints.gla.ac.uk/132062</a>	<i>Improving OA metadata management via EPrints whilst considering transferability of outputs to other platform</i>	University of Glasgow	University of Southampton, Lancaster University, University of Kent
GW4 libraries - Options for Administrative Efficiencies in OA Implementation	<a href="http://ji.sc/oa-pathfinder-project">http://ji.sc/oa-pathfinder-project</a>	<a href="http://opus.bath.ac.uk/53385">http://opus.bath.ac.uk/53385</a>	<i>Examining options to reduce administration costs for OA implementation</i>	University of Bath	University of Bristol, University of Exeter, University of Cardiff
HHuLOA - Hull, Huddersfield and Lincoln Open Access	<a href="http://ji.sc/HHuLO_Access">http://ji.sc/HHuLO_Access</a>	<a href="http://repository.jisc.ac.uk/6540/">http://repository.jisc.ac.uk/6540/</a>	<i>Focusing on good practice to identify and implement a range of OA initiatives across three non-RLUK research-intensive partners</i>	University of Hull	University of Huddersfield, University of Lincoln
LOCH - Lessons in Open Access Compliance in Higher Education	<a href="http://ji.sc/LOCH-HE">http://ji.sc/LOCH-HE</a>	<a href="http://ji.sc/LOCH-FinalReport">http://ji.sc/LOCH-FinalReport</a>	<i>Producing reusable resources for OA practitioners</i>	University of Edinburgh	Heriot-Watt University, University of St Andrews
Making sense - a researcher centred approach to funder mandates	<a href="http://ji.sc/OA-MakingSense">http://ji.sc/OA-MakingSense</a>	<a href="http://ji.sc/OAGP-Pathfinder-Project">http://ji.sc/OAGP-Pathfinder-Project</a>	<i>Understanding researcher behaviours through sense-making for better OA engagement</i>	Oxford Brookes University	Nottingham Trent University, University of Portsmouth
NUSP - Northumbria University, University of Sunderland Pathfinder	<a href="http://ji.sc/OA-Strategic-Approach">http://ji.sc/OA-Strategic-Approach</a>	<a href="http://ji.sc/NorthumbriaResearch">http://ji.sc/NorthumbriaResearch</a>	<i>Optimising resources to develop a strategic approach to open access. Enabling HEIs with limited external funding to develop evidence-based, creative responses to the challenges and opportunities of open access</i>	Northumbria University	University of Sunderland
O2OA - Open to Open Access	<a href="http://ji.sc/O2OA-Project-Blog">http://ji.sc/O2OA-Project-Blog</a>	<a href="http://ji.sc/O2OA-Final-Report">http://ji.sc/O2OA-Final-Report</a>	<i>Enabling HEIs with limited financial and human resources to consider aspects of impact with regard to open access implementation</i>	Coventry University	University of Northampton, DeMontfort University
opeNWorks	<a href="http://ji.sc/opeNWorks">http://ji.sc/opeNWorks</a>	<a href="http://repository.jisc.ac.uk/6538/">http://repository.jisc.ac.uk/6538/</a>	<i>Building a North West community of practice for OA, producing toolkits, running workshops and hosting a landmark conference</i>	University of Manchester	Edge Hill University, Liverpool John Moores University, University of Liverpool; University of Salford
Pathways to Open Access	<a href="http://ji.sc/WorkShopSummary">http://ji.sc/WorkShopSummary</a>	<a href="http://repository.jisc.ac.uk/6539/">http://repository.jisc.ac.uk/6539/</a>	<i>Pathways to increase OA looking at advocacy, publication management and data investigation</i>	UCL	Newcastle University, University of Nottingham



## Baselining and policy compliance

In order to bring in any major institutional change, knowing your starting point is essential. The rapidly changing nature of OA and the policy landscape means that progress needs to be tracked and reviewed regularly.

The pathfinder projects undertook needs analyses at the start of their projects using a range of approaches, including surveys, interviews and focus groups. Some projects produced and shared baselining tools, which are outlined below.

### Capture your current situation

The **Collaborative Institutional Assessment of Open access (CIAO)** (<http://ji.sc/CIAO-PilotVersion>) was developed by the Making Sense pathfinder and has been widely used. It is designed to use in a workshop context, involving key stakeholders. The tool enables an institution to produce a 'snapshot' of where it is positioned in a range of key activities. Workshops could be held at different levels in an organisation – institution-wide or faculty / department level – involving key stakeholders involved in OA, publishing and research.

## COLLABORATIVE INSTITUTIONAL ASSESSMENT OF OPEN ACCESS

Based on the CARDIO tool - [www.dcc.ac.uk/projects/cardio](http://www.dcc.ac.uk/projects/cardio) | **Oxford Brookes OA Pathfinder Prototype**

# CIAO

Capabilities	1 Envisioning & Initiating	2 Discovering	3 Designing & Piloting	4 Rolling out	5 Embedding
<b>Institutional Policy &amp; Strategy on OA</b>	We have not formally considered the need for policy in this area.	We are aware that the OA landscape is changing and are reviewing whether we should change our publishing practices.	We have reviewed our publication practice and have drafted an OA position paper / statement / policy. There is on going consultation with researchers and relevant support staff. We are aware of good practice internally and externally. We are discussing roles and responsibilities of relevant stakeholders in delivering services to support OA.	We have developed an OA policy and strategy, supported by relevant guidance. We have agreed roles and responsibilities of relevant stakeholders in delivering services to support OA. We are taking steps to communicate our OA policies and support.	Our OA policy, strategy and support has been well communicated to all stakeholders. We are confident that there is a high awareness of the OA environment, funding body and OA requirements for a future REF and the appropriate use of exceptions across the institution.
<b>Financing OA</b>	We have not formally considered the financial implications of OA for our institution.	We are currently reviewing the financial implications of OA on our institution.	We have decided to have a publication fund of £xxx. We are currently developing guidance on how the funds will be allocated.	We have developed a publication fund and have agreed a procedure on how it will be allocated. We are taking steps to communicate our OA funding policy to research staff.	We have a publication fund and policy of how it will be allocated. We have the technical processes and staff resources in place to manage all of this. We are confident that there is a high awareness of the application process for OA funding.
<b>Services for OA support</b>	We have not considered the services required for OA support or the areas in which those services may reside.	We are considering what/ where support for OA may be best located and are considering what resources are needed to put this in place.	We have agreement on where/what staff will be available and have thoughts on how this could best be resourced. We are considering what training/ development is needed for those staff.	We are either training, hiring or training and hiring staff to support OA and putting resources in place to continue the sustainability of the resource.	We have clear support for OA, both at Institutional, Faculty/Departmental and researcher level. We have resources in place to ensure that this support is adequately funded and we have processes in place to review the support to ensure that it continues to be fit for purpose.

Further tips on how to facilitate a workshop are given in the **tool itself**, (<http://ji.sc/CIAO-PilotVersion>) for example this key point:

*“WHAT MAKES A SUCCESSFUL CIAO WORKSHOP SESSION? Consensus may not be possible if this a new way of working within your institution however the act of gathering people together and getting them to talk about OA can be a useful starting point to more meaningful discussions. It could always be used to review progress over a set time.”*

### Benchmark against other institutions

Comparing your progress to other institutions can help reassure you that you are on the right track compared to similar institutions and enable you to find ways to improve. The HHuLOA pathfinder set up a **shared spreadsheet for institutions to share their progress** (<http://ji.sc/OA-Access-Baseline-Development>) and update regularly. They reported on **emerging themes and trends** (<http://ji.sc/OA-Assessment-Themes-Trends>) and hope that institutions will continue to update the spreadsheet.

### Treat implementation as a project

The LOCH pathfinder recommended that it is important to treat preparation for REF open access implementation as a project with a clear and agreed plan from the outset, ratified by university senior management. Inclusion of OA in strategies and involving key stakeholders across the university should ideally be part of this process.

### Take advantage of opportunities for change

As with any change, it may be possible to take advantage of other changes or initiatives within your organisation to further OA implementation, as this example at Coventry University shows:

*“Following significant investment to support the university research strategy – Excellence with Impact, the research excellence unit planned to undertake a REF2020 preparation exercise in order to establish how the developing research culture was progressing. This provided the perfect opportunity to align advocacy for OA compliance with other research support activities and agendas such as the adoption of ORCID IDs. It enabled us to take advantage of existing mechanisms for communication and support and to deliver our message as part of a holistic and coherent vision of requirements and support for research at Coventry. In doing so, we were able to address multiple goals concurrently.”*

O2oA pathfinder final report  
(<http://ji.sc/O2OA-Final-Report>)

### Integrate compliance with other reporting and systems

The Pathways to OA pathfinder recommends that funders' compliance reporting should be integrated with other author reporting, to reduce administration and inconsistencies. A thorough review of workflows would enable this to happen (see the **Structures and workflows** section).

The openWorks pathfinder found that the **deposit approaches** (<http://ji.sc/OA-Benchmarking>) in place tend not to have been created to meet the requirements of the HEFCE REF OA policy. Where institutions had an existing deposit workflow with which academic staff engaged this model has continued, with minor modification to support the REF requirement of deposit on acceptance.

The E2EOA pathfinder recommends that repository, publications management and CRIS software must incorporate reporting requirements. For more detail see the **Metadata and systems interoperability** section.

The Pathways to OA project explored reporting REF compliance with subject repositories such as arXiv and Europe PMC - and while work is still needed in this area, their **workshop report can be read on their blog**. (<http://ji.sc/REF-Summary>)

### **Involve stakeholders from across your institution**

Several projects emphasised the importance of working across the institution to involve all relevant stakeholders. At the University of Edinburgh, the requirement to meet OA policies has led to the development of new stakeholder groups:

*“Policy compliance has widened the group of stakeholders, and it is of key importance to work with these stakeholders closely to ensure joined-up implementation and a consistent message to academics. New stakeholder groups include university senior management, research managers/administrators, heads of school, research directors in colleges and schools, local administration.”*

LOCH pathfinder final report (<http://ji.sc/LOCH-FinalReport>)

The NUSP pathfinder produced several case studies (available from the **baselining section of the project outputs listing** <https://www.jisc.ac.uk/rd/projects/open-access-good-practice>) and found:

*“Collaboration between library and research office was a frequently cited critical success factor to achieving a coordinated and integrated institutional response to OA, particularly at the policy level, in the institutions that were the subject of our case studies and that participated in the workshops we facilitated”*

NUSP pathfinder final report

(<http://ji.sc/NorthumbriaResearch>)

### **Incorporate open access into institutional strategies**

In a survey run by the HHuLOA project, just over half the respondents did have a strategy that included open access, and 30% referenced it in more than one strategy. This was mainly within library strategies, but there was also widespread mention in research strategies and a few university strategies (although not faculty/departmental strategies).

*“This inclusion has led to higher visibility and buy-in on open access, as hoped for, and often came about because of interaction with other institutional stakeholders.”*

**Chris Awre, Paul Stainthorp and Graham Stone (2016)**

**“Supporting Open Access Processes Through Library**

**Collaboration”**. *Collaborative Librarianship*, 8 (2), pp.99-110.

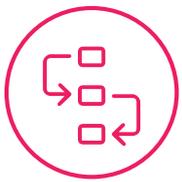
(<http://ji.sc/OA-Support>)

### **Find positive solutions**

As part of the O2OA pathfinder, Coventry University developed the **intervention mapping tool** (<http://ji.sc/OA-Tools-And-Techniques>) which its team used to identify 18 compliance ‘problems’. These were then converted into positive goals and appropriate actions identified to overcome practical and behavioural barriers. They outlined these issues and solutions in their **needs assessment** (<http://ji.sc/OA-Needs-Assessment-Summary>). More detail on using the intervention mapping tool can be found in the **Advocacy section**.

### **Set up regular reviews**

The frequent changes in the OA landscape, systems and staffing mean that the service you offer has to be adaptable. Setting time to regularly review your progress will help towards this - perhaps using the **CIAO tool** (<http://ji.sc/CIAO-PilotVersion>) or HHuLOA baseline **spreadsheet** (<http://ji.sc/OA-Access-Baseline-Development>) mentioned earlier.



# Structures and workflows

The pathfinder projects found a variety of different approaches to the implementation of open access in different institutions, depending on size of institution, research intensity, block grant income, institutional structure and systems.

While there are different structures and workflows in place across institutions, there are common threads that can be identified to produce benefits in terms of streamlining and achieving compliance.

*“Even though we are all modern universities we all do things differently.”*

**Making Sense pathfinder final report**  
(<http://ji.sc/making-sense-pathfinder>)

## Find the right approach for your institution

**A report from the openWorks pathfinder**

(<http://ji.sc/OA-Benchmarking>) found that the number of staff in open access support roles and their responsibilities vary between institutions of differing research profile, but also between institutions with similar research profiles. Deposit models vary according to how publication records are added to institutional repositories and the person responsible for attaching manuscripts. There is no consensus on the ‘right’ deposit model and models will continue to evolve.

*“Each institution carries out these tasks but the extent of mediated support varies. Cambridge and Manchester have workflows in place that keep author input into the OA process to a minimum. Both institutions ask authors to provide the OA team with a copy of the author accepted manuscript and will then carry out most administrative tasks on behalf of the author to make a paper gold or green OA.”*

*“[The University of] Cambridge is working on automating systems to reduce manual deposit work and report that checking publications and compliance is increasingly onerous. Salford also aim to keep author administration to a minimum but, unlike Cambridge and Manchester, do require authors to deposit papers in the repository.”*

**openWorks Approaches to Deposit report**  
(<http://ji.sc/OA-Benchmarking>)

HHuLOA explored the links between research management and open access and carried out a survey at the end of 2015. They found:

*“A general trend emerged that suggested a spreading of responsibilities for open access, with the library taking the lead role but involving other institutional stakeholders alongside. For example, at the start of the lifecycle, open access advocacy was regarded as a task that others could just as well engage with, whilst at the end of the life cycle, open access statistics and impact monitoring were viewed as tasks that research support and faculties should be looking to get involved with themselves more directly.”*

*“Similar trends were seen for almost all open access tasks, with two exceptions. In the areas of deposit, metadata management, and embargo management the library was still very much regarded as the primary service provider, although associated comments received suggested it would be good if deposit could be more direct, whether from academics or through automated means.”*

*“A light hearted finding was that the job titles of respondents produced a veritable word soup, highlighting the lack of consistency and conveying a confusing message to academics trying to understand terminology and what support colleagues are there to help to do.”*

**HHuLOA final report** (<http://repository.jisc.ac.uk/6540/>)

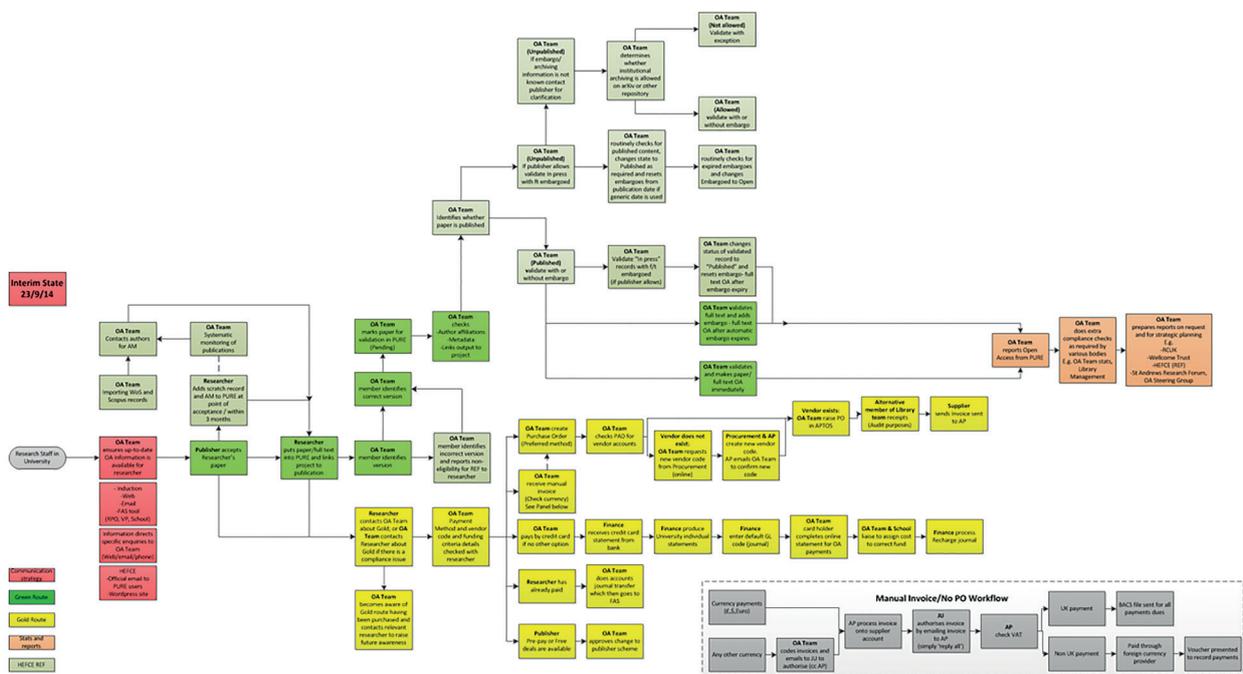
### Review your whole workflow or fine-tune individual tasks

As part of the LOCH pathfinder, the University of St Andrews implemented a full review of workflows (<http://ji.sc/OA-Workflow-Management>) and improved these using the 'lean' methodology - a before and after view of their workflows can be seen below and on the following page.

If you are unable to review your whole workflow, it may be possible to fine-tune individual tasks, particularly through automation. For example, the Pathways to OA pathfinder recommended in their final report (<http://repository.jisc.ac.uk/6540/>) that "automation needs to be introduced into gold payment processes (especially metadata recording and licence checking) where possible".

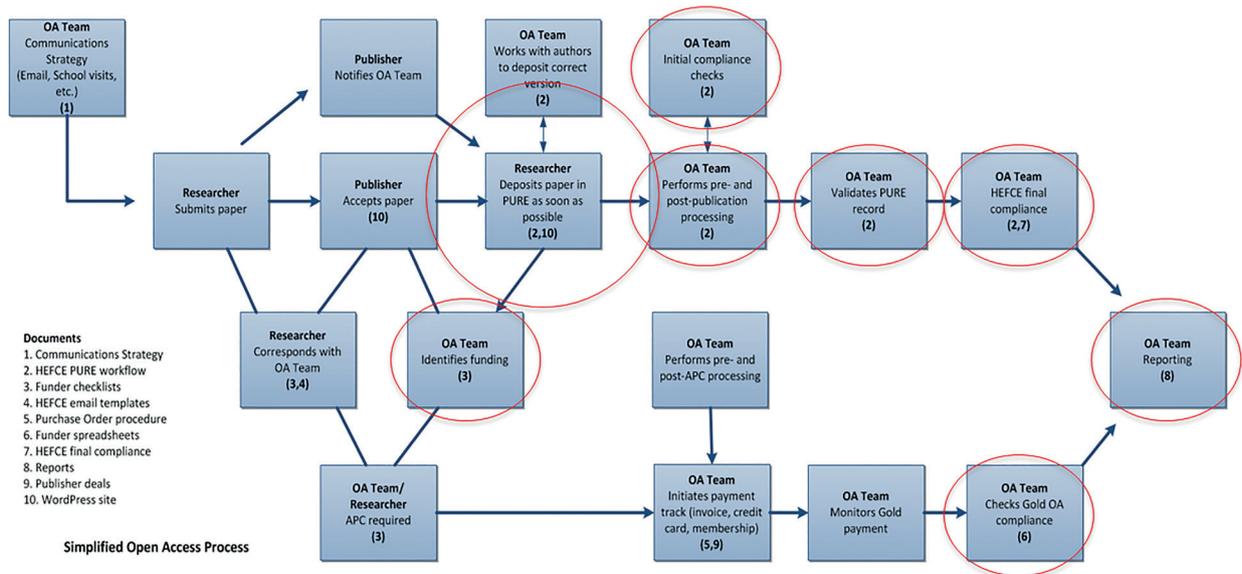
### University of St Andrews workflows before implementing LEAN

[Images taken from this presentation (<http://ji.sc/St-Andrews-Uni-Case-Study>)]



**University of St Andrews workflows after implementing LEAN**

[Images taken from this presentation (<http://ji.sc/St-Andrews-Uni-Case-Study>)]



## Coordinate processes across your institution

One of the key messages to come out of several of the projects was the importance of cross-institution working, in particular between the library and the research office. OA implementation has, in fact, been credited with bringing about better working practices that have had wider benefits in terms of increasing collaboration in other areas.

*“Involve colleagues across university services and academic departments to assist in the development and dissemination of a single and consistent approach to the challenges and opportunities presented by OA. The relationship between the library and research office is key in this regard.”*

**NUSP pathfinder final report**

(<http://ji.sc/OA-Resources-Final-Report>)

## Think about mapping to existing processes

The HHuLOA project investigated the link between existing library processes and OA, specifically electronic resource management.

*“Libraries already have well established processes in place to manage the e-resource life cycle. However, OA workflows are often seen as a separate set of add-on processes. At one face-to-face project meeting the team investigated how OA workflows could be embedded into e-resource management. This was achieved by sharing understanding of how e-resource workflows operated at the three partner institutions and how OA might link into these, specifically using Techniques in E-Resource Management (TERMS) as an established resource and starting point.*

*“The collaborative process allowed the three institutions to exchange their in-house practices and concerns. The exercise proved valuable in bringing OA and subscription experiences together, for example around the area of hybrid journals, total cost of ownership, and offsetting.”*

**Chris Awre, Paul Stainthorp and Graham Stone (2016)**

“Supporting open access Processes through Library Collaboration”. *Collaborative Librarianship*, 8 (2), pp.99-110 (<http://ji.sc/Supporting-OA-Library-Collaboration>).

Their final report summarises the discussion on this area at the end of the project:

*“HHuLOA’s work to adapt the TERMS and Open Access Workflows for Librarians (OAWAL) resources suggests a move to an ‘open-access-aware’ library subscriptions team, or a converged team managing both open access and ‘traditional’ e-resources management (ERM) subscription library resources. However, while some of the attendees’ comments and questions suggested that this convergence of open and closed library access is a ‘live issue’ in at least some institutions in the UK, other attendees said that in their particular institutions any overlap with traditional library acquisitions and ERM would tend to be seen as irrelevant or distracting, and that the most important ‘fit’ was with the local research office.”*

**HHuLOA final report** (<http://repository.jisc.ac.uk/6540/>).

## Consider how you handle REF exceptions

The HEFCE REF policy allows exceptions to be claimed as long as the institution is making ‘best endeavours’ to establish a framework to maximise compliance (**point 44 of the HEFCE OA policy** <http://ji.sc/Research-Excellence-Framework-OA>). The Pathways to OA project explored REF exceptions and how institutions handle them.

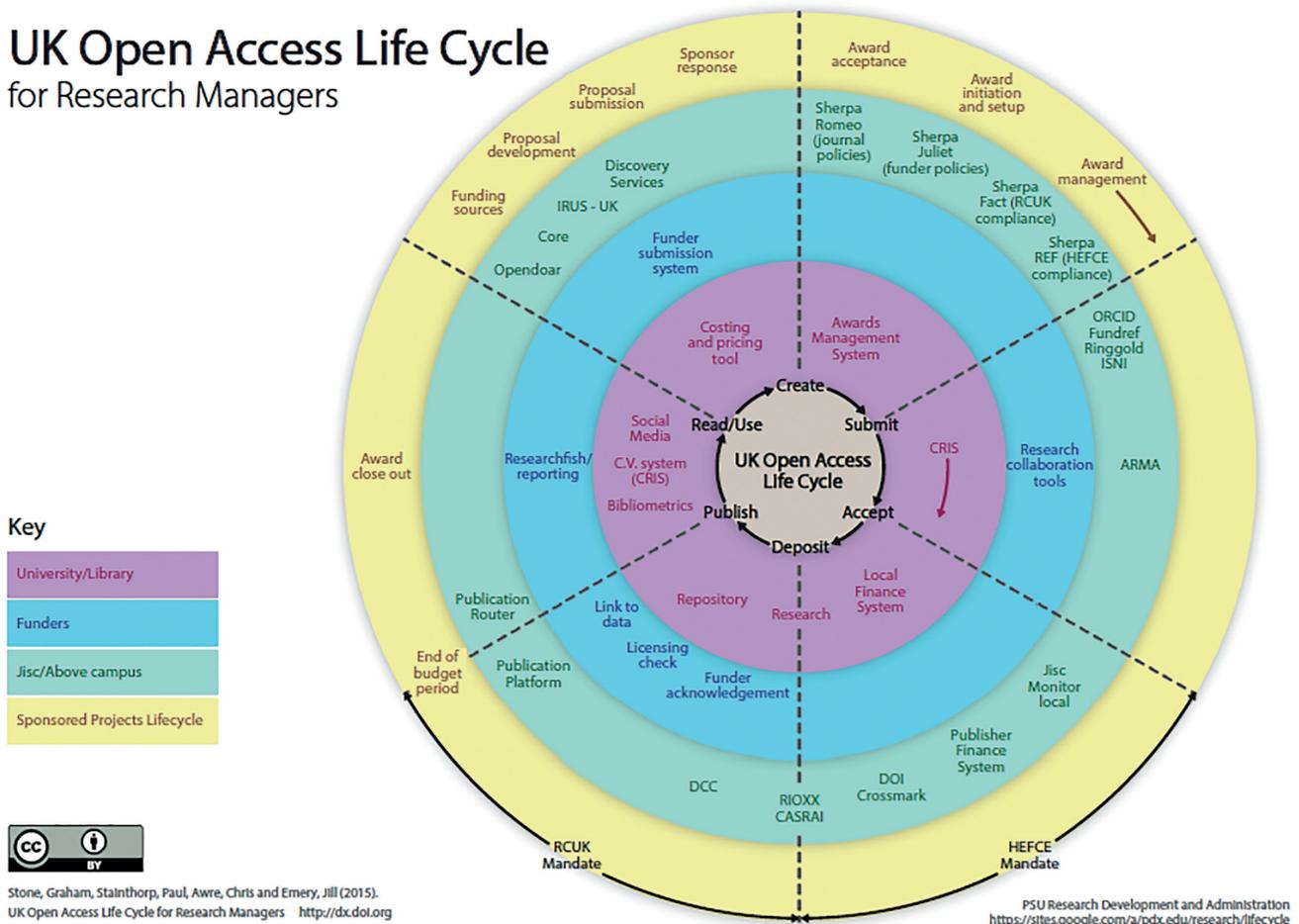
A workshop took place in January 2016 where several institutions discussed their approaches. Institutions were found not to be recording exceptions widely yet as

workflows are not ready. However, while the potentially small number of exceptions makes them manageable, it was recommended that institutions still need a process in place, rather than dealing with each exception as it comes up. In general, institutions are not communicating exceptions to researchers as they feel it is hard enough to communicate the essentials of policy compliance. Read the **full discussion on the project blog** (<http://ji.sc/REF-Summary>).

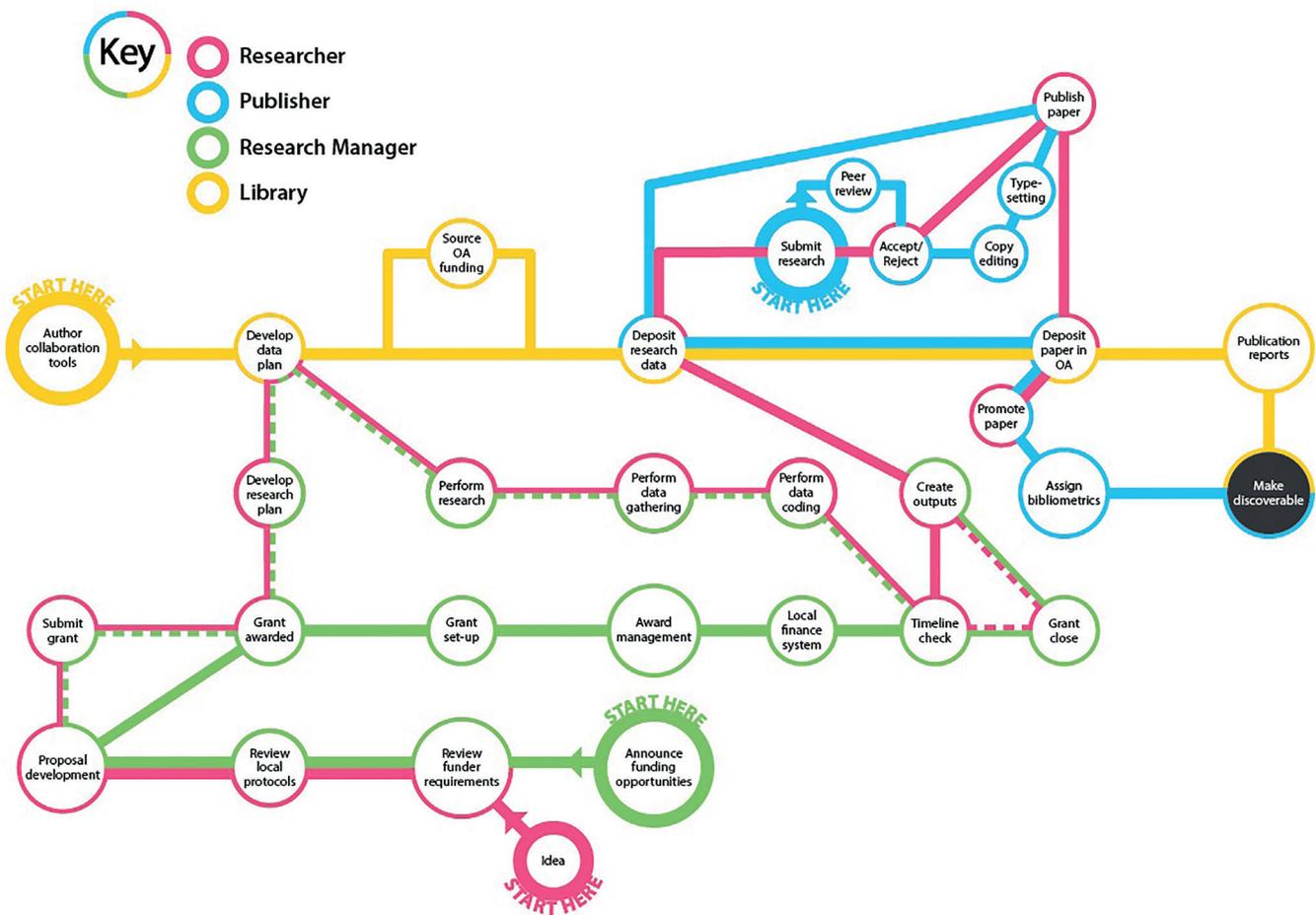
### Explore workflow models

The HHuLOA project developed several models mapped to the OA lifecycle to help explain OA processes. These may be useful in exploring your current provision. Their work built on the **OAWAL model** (<http://ji.sc/UK-Open-Access-Life-Cycle>), producing **versions for researchers, research managers and publishers** (<http://ji.sc/OA-Life-Cycles-Comment>).

## UK Open Access Life Cycle for Research Managers



A 'tubemap' (<http://ji.sc/Tubemap-Concept>) representation of different pathways for various stakeholders was also produced.



### Ensure sustainability

The LOCH pathfinder noted that open access implementation needs to be resourced properly, and there are a number of models for doing this that will work, depending on the culture of your institution. The most important thing is to devise a model that is adaptable, scalable, and sustainable

in the long run. The openWorks pathfinder highlighted that OA support services remain vulnerable with a number of institutions relying on fixed-term posts. Their report on **approaches to deposit and benchmarking of support services** (<http://ji.sc/openworks-report>) gives an overview of various models in use.



# Advocacy

The importance of raising awareness and understanding of open access was a strong theme across nearly all of the projects:

*"...every institution faces similar and significant challenges and opportunities relating to OA, and ..., regardless of the level of funding, no one has achieved total success in the key areas of advocacy and engagement"*

**NUSU pathfinder final report**

(<http://ji.sc/NorthumbriaResearch>)

*"If open access is going to achieve its potential it needs to be seen as a fixture in the options academics consider for their dissemination, going beyond the funder requirements that are making them do so."*

**Chris Awre, Paul Stainthorp and Graham Stone (2016)**

**"Supporting open access Processes through Library Collaboration". Collaborative Librarianship, 8 (2), pp.99-110**

(<http://ji.sc/Supporting-OA-Library-Collaboration>)

While there are other issues at play around researchers' engagement with OA, particularly the academic reward system (as discussed by **Danny Kingsley** <http://ji.sc/OA-Miss-Measurement-Problem>), awareness-raising still has a key role. In addition, while advocacy tends to be most focused on researchers, awareness-raising for support staff at all levels is also vital, including managers and senior leaders.

## Get to know your researchers and how they work

The projects used a range of methods to get to know researchers, to find the best ways to engage them and to address issues around knowledge and workflows.

### Interviews

Nottingham Trent University (NTU) carried out a series of interviews to find out more about researchers' attitudes and needs. The **interview questions and coding** (<http://ji.sc/OA-Interviews>) are available to reuse.

*"Interviews at NTU gave their newly formed library research team the opportunity to forge relationships with their researchers. As a result of the interview findings NTU formulated a more formal dissemination and researcher engagement plan that was agreed with the PVC for research, and placed a greater emphasis on a multi-pronged approach to communication and advocacy."*

**O2OA pathfinder final report**

(<http://ji.sc/O2OA-Final-Report>)

The **MIAO (My Individual Assessment of Open Access) tool** (<http://ji.sc/MIAO-Individual-Assessment>) is for researchers to assess how prepared they think they, and their institution, are for open access compliance. The results from this tool could be used as a basis for an interview or for discussion within a workshop context.

Pilot version

**MIAO**

## MY INDIVIDUAL ASSESSMENT OF OPEN ACCESS

- **What do you know about Open Access?**
- **How do you think your institution is supporting you with Open Access?**
- **Take this short test and rate yourself and your institution.**

### ABOUT MIAO

MIAO is a self-assessment tool for researchers to assess how prepared they think they, and their institution, are for Open Access (OA) compliance. This is based on CIAO - Collaborative Institutional Assessment of Open Access - a benchmarking tool for assessing institutional readiness for Open Access (OA) compliance.

This tool has been produced as part of the *JISC OA Pathfinder: Making Sense: a researcher-centred approach to funder mandates*. The project runs from June 2014 – June 2016 and will explore researcher behaviours using sensemaking techniques, trying to get researchers to comply with UK research open access mandates because they want to rather than having to. The lead institution is Oxford Brookes University, associates are Nottingham Trent University and University of Portsmouth.

### HOW CAN IT BE USED?

MIAO is a tool for self-assessment. You can use it to gauge your own understanding of OA. It can also be used to assess your understanding of your own institution's behaviour.

Tick the statement that you agree with most for each of the capabilities. For the analysis to be effective it is important that you be honest in your responses.

Once completed, add up your score and use the scale to mark your results. Remember, there are no incorrect answers.



### Intervention mapping

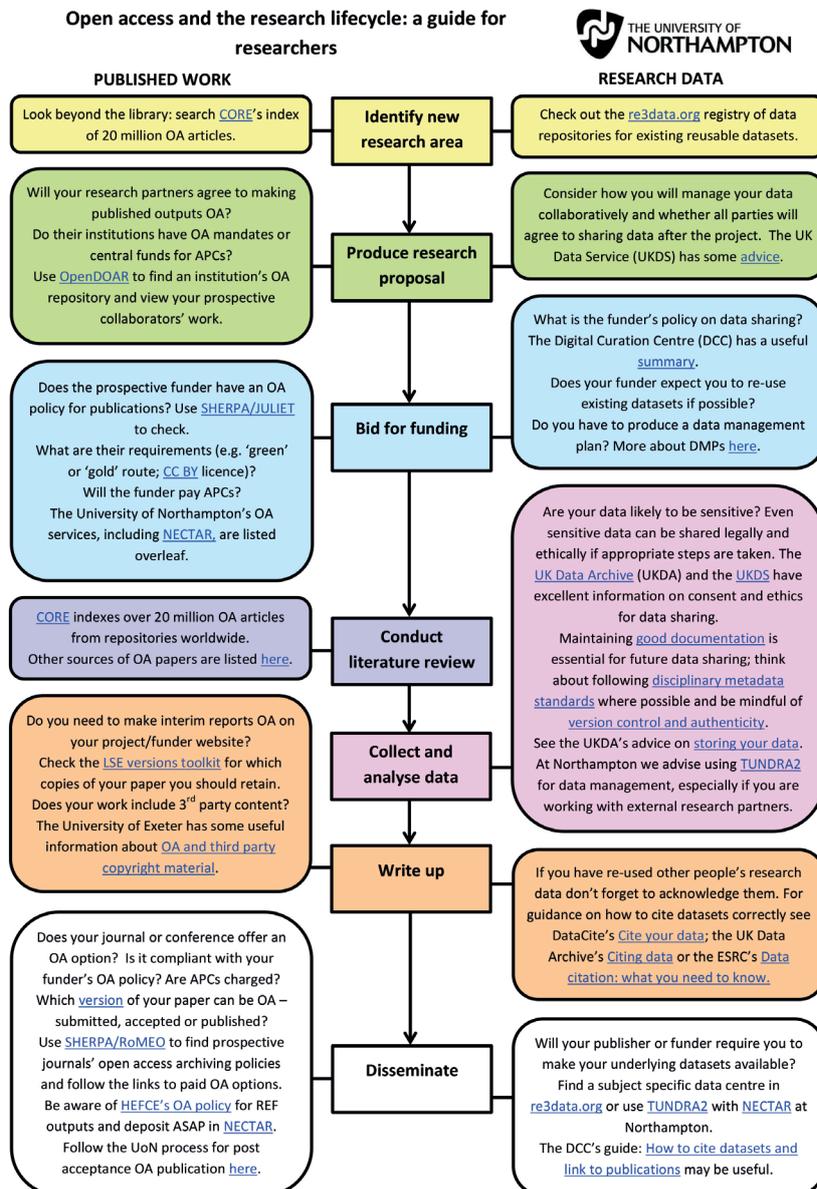
Based on behaviour change theory, the **intervention mapping tool** (<http://ji.sc/OA-Tools-And-Techniques>) and **facilitator's guide** (<http://ji.sc/OA-Tools-And-Techniques>) was developed by the O2OA project and will help develop a coherent approach to OA advocacy by helping you to consider all potential issues and barriers. Reframing these issues into positive goals allows you to develop a more positive advocacy message to encourage behaviour change.

The team used this approach to address the challenges of OA compliance. Beginning with a needs assessment, input from users, experts and the wider literature was combined to decide the determinants of behaviour and the target goal. The project team converted this information into a series of attitudinal, skills-based and practical goals, and combined these into interventions to improve the likelihood of action. The key steps to this approach are shown in the figure below:

Problem	Goal (positive phrase)	Goals of change			Actions
		Knowledge	Attitude	System/ process	
	A positive, discrete achievable goal. This is the positive state you want to have achieved	Is there a gap in knowledge that's contributing to the problem? Whose lack of knowledge? If so what do people need to know?	Is it an opinion, belief or view on what others do which is influencing behaviour? Whose attitude? If so, what attitudes do people need to hold to address this?	Is there something technical, practical or organisational contributing to the problem? What is needed to enable people to act well?	What changes are needed to solve the problem? Plan your actions. Consider approaches, techniques or strategies to achieve goals
No University funding available for the payment of Article Processing Charges (APCs)	Researches comply with OA requirements through a mix of Gold and Green routes	<ul style="list-style-type: none"> <li>» Researchers to understand Gold vs Green routes</li> <li>» Researchers to understand Green is still REF compliant</li> <li>» Researchers to know University process for payment of APCs</li> </ul>	<ul style="list-style-type: none"> <li>» Researchers to understand that Gold OA does not always require funding</li> <li>» Researchers to view Green as acceptable</li> </ul>	Clear decision process for publishing via Gold and Green routes, incorporating any institutional APC deals available	<p><b>Changing norm:</b> University Research and Enterprise Committee to recommend policy of Green OA</p> <p><b>Communication:</b> post on Research Support Hub; cascade through research leaders and school NECTAR Ambassadors</p> <p><b>Process:</b> library staff to be contacted by any researcher considering paying for Gold OA (in case a deal is available)</p>

Intervention mapping at Northampton led to the development of the **guide for researchers which is mapped to the researcher’s workflow**: (<http://ji.sc/OA-And-Research-Lifecycle-Guide>) it has been positively received.

*“A million thank yous for this guide! It is a blessing for ECRs like me ... I have printed this out and actually have it right next to my desk”*  
Early career researcher at Northampton



## User experience (UX)

The user experience (UX) is becoming a central feature in providing user-oriented services. Some UX work is emerging from studies of undergraduates such as diary keeping and observational studies – however, limited work has been done with researchers. The Making Sense pathfinder recommended that further work is carried out on researcher behaviours; exploring a researcher's day, their pain points, their dissemination and publishing habits and their engagement with OA. The outcomes of these studies could then inform services and systems.

## Keep the message clear and simple

The O2OA pathfinder emphasised the need for clear guidance, strategies and workflows across the institution and highlighted the need for an approach to providing support that involved key areas of professional services. When focusing on policy compliance, projects reported that simplifying their message helped engage researchers. The University of Portsmouth adapted a HEFCE poster, but found they needed to **simplify the message to focus on uploading the accepted manuscript**. (<http://ji.sc/Making-Sense-OA>)

### Version 1

**Will your publications be eligible for the next REF?**

Upload articles to Pure as soon as they are accepted for publication

The poster features a central graphic of a building labeled 'PURE' with 'open access repository' below it. Arrows point from various stages of the publication process to the Pure repository: 'final text', 'post print', 'author's accepted manuscript', 'open reviewed', and 'post print'.

HEFCE require journal & conference articles (with an ISSN) accepted for publication from 1st April 2016 to be open access. HEFCE have further specific conditions that must be met.

Pure login: pure.port.ac.uk/admin  
OA website: port.ac.uk/research/openaccess  
Contact: openaccess@port.ac.uk

hefce University of Portsmouth

Poster edited & used with permission from the Higher Education Funding Council for England (HEFCE)

### The simplified version 2

*How do I ensure that my work is **REF-eligible**?*

*Upload it to Pure as soon as it is **accepted** for publication\**

\* This is HEFCE's REF Open Access policy, which applies to journal & conference articles with an ISSN. Please check that your publisher allows you to comply with HEFCE without any cost **before** you submit your work for publication.

hefce University of Portsmouth

Pure: pure.port.ac.uk/admin  
Research Portal: research.portal.port.ac.uk  
OA website: port.ac.uk/research/openaccess  
Contact: openaccess@port.ac.uk

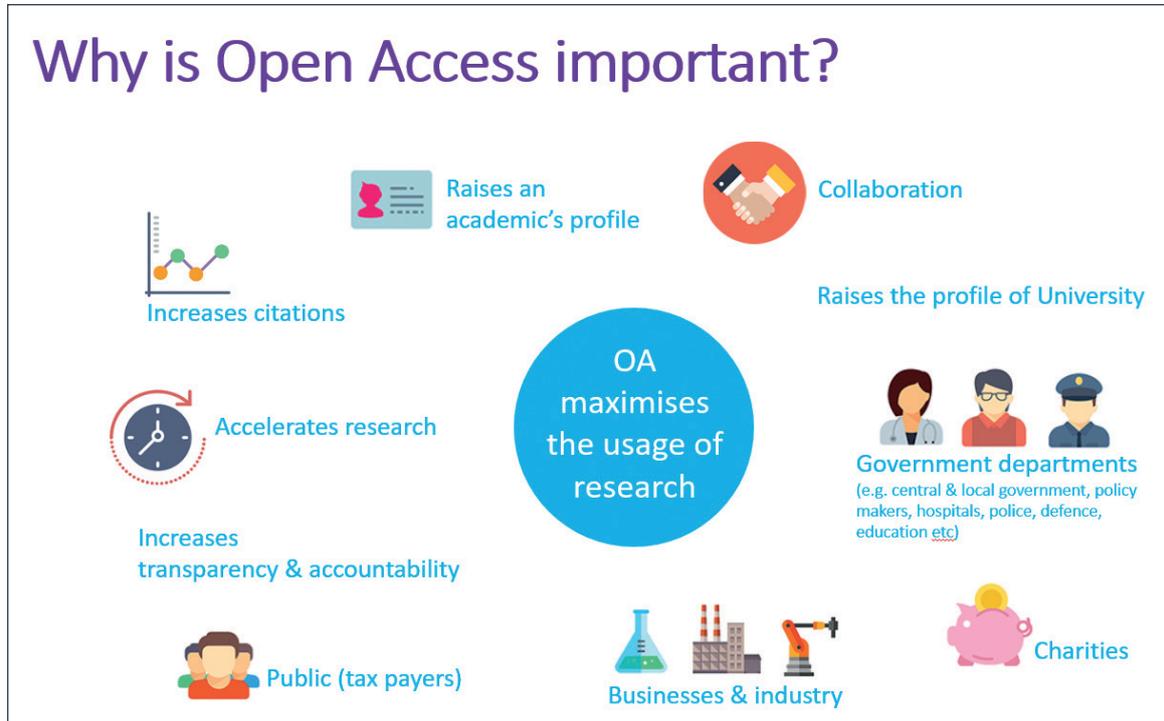
## Promote the wider benefits

While the simple message of policy compliance is often the 'hook' to engage researchers, the importance of the wider benefits must not be forgotten.

*"Ensure that the benefits and moral arguments for OA as an enabler for open research are part of advocacy rather than a focus on compliance to encourage rather than threaten academic colleagues into action."*

NUSP pathfinder (<http://ji.sc/Develop-A-Strategic-Approach-OA>)

Plymouth University shared its **advocacy presentation** (<http://ji.sc/oa-presentation>), including the slide below about the importance of open access.



## Help researchers navigate the policy landscape

The HHuLOA pathfinder has done some work around standardising policy terminology to make it clearer and more consistent, developing a **spreadsheet of codified policy statements** (<http://ji.sc/Comms-Policy-Landscape-HHuLOA>). The University of Lincoln is developing a pilot researcher ‘dashboard’ system to summarise and present research information in disparate systems. The intention is to use the policy spreadsheet as a data source to filter information and guidance based on the researcher’s commitments to particular funders.

*“By simplifying the navigation around different policies, the project team believes that the focus of attention can be directed to the benefits of OA as a component part of research dissemination overall”*

Awre, C. et al., (2016). Communicating the open access policy landscape. *Insights*. 29(2), pp.126-132 (<http://ji.sc/OA-Policy-Communication>)

The NUSP project also produced an **interactive decision making tool** (<http://ji.sc/Research-Funding-Form>) to support researchers shown below:

## Use a range of approaches

The **O2OA researcher needs analysis** (<http://ji.sc/Needs-Assessment-Summary>) found that participants demonstrated widely differing knowledge and understanding of OA, with some extremely well informed of the principle and practice of OA and others coming new to both research and OA. This highlighted the need for a flexible approach when promoting and supporting OA.

Their intervention mapping approach led to the introduction of OA drop-in sessions to supplement the more formal events, and the development of new OA support materials, such as postcards and flyers, and the creation of a short case study video in conjunction with their marketing team.

# UNIVERSITY LIBRARY





**Is the research externally funded?**

Yes

**Does the journal comply with funder's policy on OA?**

You can check the journal's Open Access options using SHERPA RoMEO.  
Funder policies can be checked on SHERPA JULIET.  
If your publication is not associated with a research grant, please select 'yes'.

Yes

**Does the journal allow green OA?**

Green Open Access means depositing your accepted manuscript in a repository so that it can be freely downloaded and read.  
University policy states that the accepted author manuscript of all conference papers and journal articles must be deposited in NRL upon acceptance for publication.

Make a selection

### Explore the full list of advocacy resources

([http://bit.ly/Open\\_Access\\_Good\\_Practice](http://bit.ly/Open_Access_Good_Practice)) that were created by the projects and shared for reuse.

### Review your support regularly

The OA landscape is changing rapidly so it is essential to review the support you provide regularly and ensure it is still appropriate. The O2OA project recommends continued use of the **intervention mapping tool** (<http://ji.sc/Tools-And-Techniques>) to monitor and re-evaluate advocacy strategy to determine if any of the problems and barriers identified previously have been successfully addressed. The **HHuLOA baselining spreadsheet** (<http://ji.sc/OA-Development-Sheet>) or **CIAO tool** (<http://ji.sc/CIAO-Assessment>) could also be used to review progress.

### Encourage institution-wide involvement

The Pathways to OA pathfinder recommended that departments and faculties should be encouraged to take responsibility for compliance with, and promotion of, open access mandates. O2OA suggested finding out who provides administration support within each department/faculty, as they will be able to help you identify relevant advocacy opportunities such as research symposiums and internal conferences. If they know what support you provide they will also be able to direct staff to your service when they are asked about OA.

*“Where possible, work with the research office and other key research support services. They will have established contacts and routes into departments/faculties and because of this their support will endorse your message.”*

**O2OA pathfinder final report**

(<http://ji.sc/OA-Jisc-Final-Report>)

*“While a clear, up-to-date suite of webpages, timely email communications to researchers, and attractive printed materials form the bedrock of any advocacy policy, in order to influence researchers’ behaviour the open access message needs to be delivered directly, to existing faculty and department committees and meetings, and reinforced frequently. It is vital that communication is tailored to the needs of researchers in particular disciplines, and preferable that departments and faculties take responsibility for REF compliance at a local level.”*

**Pathways to OA baseline report**

(<http://ji.sc/OA-Pathways>)

### Get the buy-in of key stakeholders or champions

Key stakeholder buy-in is essential. This supports your message and adds weight to the requirement for others to engage. Oxford Brookes University cited advocacy from the vice-chancellor as a key success factor in their advocacy.

Nottingham Trent University created a **‘talking head’ video** (<http://ji.sc/nott-talking-head>) of one of their researchers who had become an advocate of OA. The O2OA pathfinder released **guidance on making talking head videos** (<http://ji.sc/talking-head-guide>) and their **interview questions** (<http://ji.sc/nott-interview-questions>).

### Ensure support staff have the right skills

Support staff often need to develop their own knowledge and skills in order to be successful within their advocacy role. The openNWorks pathfinder produced a **guide to open access for support staff** (<http://ji.sc/Guide-To-OA-Support>). The Pathways to OA pathfinder developed an **OA advocacy toolkit** (<http://ji.sc/Advocacy-Toolkit>), based on seven steps illustrated below.

The **approaches to deposit report from openNWorks** (<http://ji.sc/OA-Benchmarking>) explored OA support services at three institutions, including their views on the skills that are required. The University of Cambridge believes that researcher experience is critical to engaging academic staff with OA and recruited researchers to its OA research advisor posts. All three institutions agreed

that ‘attitude’ was the key requirement, by which they meant presenting a bolder image than library staff are traditionally known for, and an ability to speak authoritatively with researchers.

Speaking with authority was also highlighted elsewhere:

*“Simply being awarded funding for ‘sharing best practice in open access’ really helped to consolidate the library’s reputation as a centre of expertise in open access. This reputational boost was helpful in our own efforts to persuade schools and colleges to engage with open access.”*

**LOCH pathfinder final report**  
(<http://ji.sc/Lessons-In-OA>)

## YOUR 7-STEP OPEN ACCESS CHECK LIST

- 1 Gather essential information for accuracy and consistency.
- 2 Understand your audiences and find the best ways to reach them.
- 3 Build a profile of open access stakeholders and their attitudes.
- 4 Create compelling messages that appeal to stakeholders’ interests.
- 5 Plan and develop your communication and advocacy campaign.
- 6 Begin communicating and do so regularly, honestly and consistently.
- 7 Monitor, measure and evaluate the impact of how you communicate.



# Cost management

Dealing with payments will be an inevitable part of implementing OA for higher education institutions. In many cases, the workflow has been quickly implemented to deal with the rising number of APCs that an institution has to pay.

The open access good practice initiative has encouraged information sharing and best practice between institutions and this has led to the development of an informal national OA support network.

Whether you ask colleagues at other institutions, or seek help from support services like **Jisc Collections** ([jisc.ac.uk/jisc-collections](http://jisc.ac.uk/jisc-collections)), it's likely that someone will be able to help with your OA cost management processes.

## Understand the OA cost management landscape

The OA environment is fast moving and subject to frequent changes from funders, publishers, and other key stakeholders. Further information about payment models can be difficult to source as well as interpret.

The GW4 project members have undertaken a number of reviews which provide useful information for staff who would like an overview of different elements of the OA cost management landscape.

The reviews include:

- » A **literature survey** (<http://ji.sc/Pre-payments>) on the potential wider market effects of pre-payments on the development of the APC market
- » An **evaluation of current offsetting deals** (<http://ji.sc/Implementation-Review>) being offered by publishers
- » An **assessment of APC intermediary services** (<http://ji.sc/APC-Review>)

Following a survey of UK universities, the project also produced a series of **recommendations for institutions and publishers** (<http://ji.sc/APC-Vouchers-Discount>) regarding the use of vouchers and discount codes to pay APCs. The analysis highlights the benefits of these payment options, but also the disadvantages.

## Capture workflow costs

In order to assess the internal costs involved in supporting your APC workflow, it may be useful to read about how the GW4 institutions used the **functional cost analysis technique** (<http://ji.sc/Functional-Cost-Analysis>) to evaluate their APC payment process and identify the administrative costs involved in processing APC payments.

The openWorks pathfinder explored costs of the **different deposit models** (<http://ji.sc/OA-Benchmarking>). The study estimated the cost of deposit workflows for case study participants, based on the staff involved, the time taken to carry out the workflow tasks and the number of research papers produced annually. The questionnaire used for the study is available within the project's final report.

They found no consensus on the time taken to process a paper in each model. However, most institutions agreed that it takes less than 20 minutes to process 'problem-free' papers. The key determinants in the cost to institutions of adopting a given model are the number of research papers produced annually and the number (and grade) of staff dedicated to this work.

## Adapt your cost management workflow to make time-saving efficiencies

If you haven't already, it is worth looking at your current workflow to see whether changes can be made to reduce staff time on the tasks and avoid duplication of effort. If you can't redesign your whole process, fine-tune individual tasks.

There is no standardised workflow for managing APCs and differences will occur from institution to institution depending on local needs including, for example, staffing levels. Sometimes the responsibility lies with research offices, sometimes with library staff; in other cases the activity is undertaken by staff in both teams.

## Resources for implementing more efficient workflows

As a result of analysing how they managed APC payments, the GW4 project released a number of helpful resources that may help you implement more efficient workflows.

The project's **sample APC payment workflows**

(<http://ji.sc/sample-apc>) – detailing prepaid agreements as well as credit card and invoice payments – are useful to quickly gauge the different stages involved in each process.

Its **guide to using purchase cards for APC payments**

(<http://ji.sc/using-purchase-cards>) outlines the benefits and issues involved for HEIs when using credit cards.

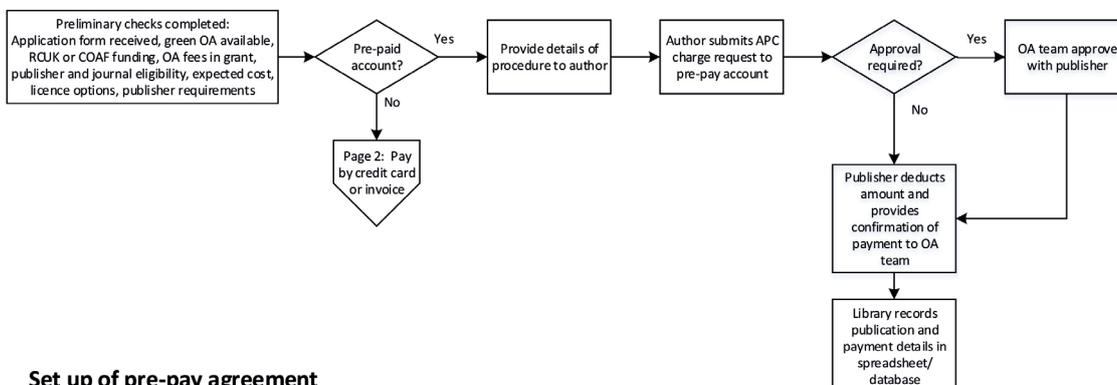
*“Managing APC payments for Wellcome Trust and particularly RCUK requires the collection of a lot of data for each payment. Finding a way to record all the necessary information in an efficient way is a significant challenge.”*

**GW4 blog post, 22 September 2015**

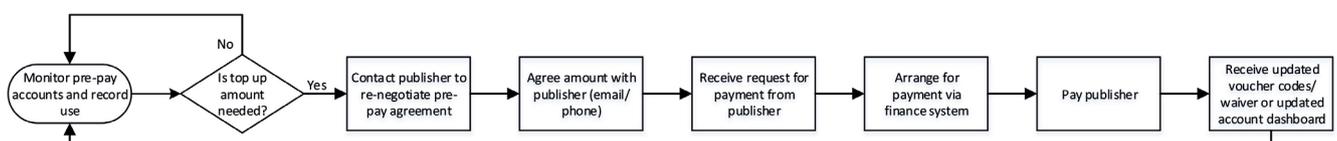
(<http://ji.sc/apc-comparison>)

## Pre-Paid agreement sample workflows

### Pay using pre-pay agreement



### Set up of pre-pay agreement



Subsequently, a **reporting checklist** (<http://ji.sc/reporting-checklist>) was created by the GW4 project to help institutions identify what financial data is required when reporting compliance to RCUK and HEFCE.

### Provide feedback

As identified in the **GW4 blog post** from January 2016 (<http://ji.sc/pathfinder-update-jan16>):

*“Characteristics of the dysfunctional journal subscription market can also be ascribed to the APC market and to pre-payment agreements suggesting action is needed to ensure a competitive APC market develops.”*

It is important to get involved and provide feedback to relevant publishers and other providers about their cost and payment models so that they are developed with the interests of HEIs in mind.

### Make a case for an institutional open access fund

The NUSP pathfinder developed a **cost modelling tool** (<http://ji.sc/cost-mod-tool>) which is useful in helping to establish an internal business case to set up an APC fund for OA publishing. It allows you to model different cost projections based on variables such as FTE, number of articles, REF submission targets, and % green vs gold OA.

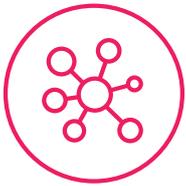
The tool was a development of initial work undertaken at Northumbria University in 2014 that led to the university executive approving a £100K/annum internal fund for gold open access costs. It is anticipated that the tool will be most useful to institutions receiving a lower block grant from RCUK or no grant at all, but there may be other use cases. The tool also includes a worked example and embedded quick start guide.

Open Access Reporting Checklist for Institutions	
A Good Practice Guide	
Open Access Good Practice Pathfinder Project Administrative Efficiencies for Open Access Implementation Issued: June 2015	
(Updated with data required for version 2 of the spreadsheet, for HEI 2015 APC data collection in January 2015)	
Data to collect for compliance reporting to RCUK and COAF as outlined in Jisc APC spreadsheet (fields in bold are essential)	Data to collect for compliance reporting to HEFCE (fields in bold are essential). Open Access requirements only NOT bibliographic requirements for submission
Publication information	
DOI	
Publisher	
Journal	
Article title	
Date of publication	Date of publication (in access information)
Licence	
Correct licence applied?	
ISSN	
Type of publication	Type of publication
PubMed Central (PMC) ID	
PubMed ID	
Problem-free OA publication?	Acceptance date (required if output type =Journal article or conference proceeding)
	Technical exception
	Deposit information (to be collected for all outputs that meet the definition and where a technical exception has not been recorded)
	Version of deposited file
	Deposit date
	Deposit exception
	Access information (to be collected for all outputs that must meet deposit requirements and where a deposit exception has not been recorded)
	Embargo end date
	Free to read
	Free to download
	In-text search
	Access exception
Funder information	
Fund that APC is paid from (up to 3 funds: 1 essential, 2&3 optional)	

### Track down 'APCs paid in the wild'

In many cases, it has been difficult for institutions to gauge the full extent of what their staff are spending on APCs. This is as a result of APCs being paid under the radar of OA fund managers.

The LOCH project researched this area and it has released the article **'Improving estimates of the total cost of publication by recognising 'APCs paid in the wild'** (<http://ji.sc/improving-estimates>), which investigates the numbers of APCs which were not paid at the University of Edinburgh through centrally-managed funds.



# Metadata and systems interoperability

A number of institutions involved with the pathfinder projects have been investigating the incorporation and development of OA metadata in systems including Eprints, Hydra, Fedora, and PURE.

As part of the E2EOA project, staff at the University of Glasgow developed an OA metadata specification for Eprints which has now been widely adopted by users from across the UK. A summary of how the university has enhanced its technical processes and systems can be found in the **UKSG article: managing open access with Eprints software: a case study** (<http://ji.sc/manage-oa>).

The LOCH project has been involved in developing an OA metadata specification for PURE. To help encourage best practice, staff at the University of Edinburgh have subsequently drawn up **training material for PURE validation checking** (<http://ji.sc/pure-valid-training>).

For information about work that Lancaster University has done regarding PURE and Fedora see the **technical case study: mapping open access requirements to PURE and Fedora** (<http://ji.sc/mapping-oa-requirements>).

## Standardise your data entry

To enable information about OA to be recorded successfully by institutions, it has been necessary to increase standardisation, both of OA-related fields in institutional repositories and of the way data is entered into these fields. This is particularly important for compliance reporting. Standardising data entry also makes it easier to make systems talk to each other, thereby increasing the effectiveness of automated workflows.

The development of the **RIOXX metadata application profile** (<http://riox.net>) has also been essential to the progress of managing OA outputs across the UK and assisting with interoperability between OA systems. The HHuLOA project has drawn together **a review that will help all those applying the RIOXX metadata application profile in their systems** ([http://ji.sc/riox\\_review](http://ji.sc/riox_review)).

## Implement systems that will help you automate OA workflows

With the onset of obligatory OA requirements from research funders comes the need for systems which can support institutions and their academics in meeting these mandates. Development has needed to be rapid whilst at the same time agile enough to respond to a frequently changing landscape. At Jisc, we have been working to develop such systems and we have relied upon the community to help identify what will enable compliance and what will ease staff workflows.

As part of the OAGP initiative a number of institutions agreed to pilot systems that we are developing (such as **Monitor** <https://monitor.jisc.ac.uk> and **Publications Router** <https://pubrouter.jisc.ac.uk>), offering important feedback that guides development. Participants have then been able to share with other HEIs their experience of these new systems, which has not only encouraged uptake but also helped identify unknown issues and areas for improvement.

## Be part of the discussion

Workshops like those held by the E2EOA pathfinder project have brought to light the issue of non-standard data entry. Participants have attempted to garner solutions from the community about how best to standardise OA data entry within different institutional repository systems and CRISs. It has been:

*"really helpful to get an overview of everything that is going on to help tackle some of the issues we as a community are having trying to support OA. I think the way in which institutions are working together to develop solutions is really amazing and the pathfinder projects seem to be a great way of achieving this. It's good to know we are not alone!"*

**E2EOA blog post, 14 August 2014**  
(<http://ji.sc/repository-fringe-pt3>)

---

# Further support

The challenges of implementing open access will continue into the future. We hope these lessons and resources will help your institution meet those challenges.

A recommendation from the NUSP pathfinder was that:

*“Key stakeholders from HEI’s should participate in a community of practice to ensure coordination, alignment and sustainability of approach to OA”.*

**NUSP pathfinder final report**

(<http://nrl.northumbria.ac.uk/27834>)

While the pathfinder projects have now completed, the community continues in the form of a **blog** (<https://openaccess.jiscinvolve.org/wp>), **mailing list** (<http://ji.sc/oa-mailing-list>) and **Twitter account** ([https://twitter.com/OA\\_GoodPractice](https://twitter.com/OA_GoodPractice)). You can also share your practice using **#OAGP** on Twitter.

In addition to these tips and recommendations, please explore **Jisc’s open access services and guides** ([jisc.ac.uk/content/open-access](https://jisc.ac.uk/content/open-access)) and keep an eye on our **scholarly communications blog** (<https://scholarlycommunications.jiscinvolve.org/wp>) for updates on our activities.





Share our vision to make  
the UK the most digitally  
advanced education and  
research nation in the world

[jisc.ac.uk](http://jisc.ac.uk)

**Jisc**

One Castlepark  
Tower Hill  
Bristol, BS2 0JA  
0203 697 5800

[info@jisc.ac.uk](mailto:info@jisc.ac.uk)